

## (37 CFR 1.9(f) &amp; 1.27(c)) -- SMALL BUSINESS CONCERN

Applicant or Patentee: Richard Lippmann, Chris Scott, Kendra Kratkiewicz, Michael Artz and Kyle W. Ingols  
Serial or Patent No.: 10/734,083  
Filed or Issued: December 11, 2003  
Title: A NETWORK SECURITY PLANNING ARCHITECTURE



I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Massachusetts Institute of Technology  
77 Massachusetts Avenue  
Cambridge, MA 02139

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

☐ the specification filed herewith with title as listed above.

☒ the application identified above.

☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

☒ No such person, concern, or organization exists.

☐ Each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Rita M. Filipowicz  
NAME

Patent Administrator  
TITLE

77 Massachusetts Ave., Cambridge, MA 02139  
ADDRESS

Rita M. Filipowicz  
SIGNATURE

1/7/04  
DATE

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **A NETWORK SECURITY PLANNING ARCHITECTURE**, U.S. Patent Application No. 10/734,083, filed on December 11, 2003.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulation, § 1.56. I hereby claim foreign priority benefits under Title 35, United States Code, § 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate disclosing the subject matter claimed in their application and having a filing date (1) before that of the application on which priority is claimed, or (2) if no priority is claimed, before the filing date of this application.

Prior Foreign Application(s)

<u>Number</u>	<u>Country</u>	<u>Day/Month/Year Filed</u>	<u>Priority Claimed</u>
			( ) Yes ( ) No

I hereby claim the benefit under Title 35, United States Code, § 120/365 of any United States application(s) listed below and PCT International Applications listed above or below, and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

<u>(Application Number)</u>	<u>Day/Month/Year Filed</u>	<u>Status (Patented, Pending, Abandoned)</u>
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I hereby appoint Donald W. Muirhead, Reg. No. 33,978; Anne E. Saturnelli, Reg. No. 41,290; Sam Pasternack, Reg. No. 29,576; Brenda Herschbach Jarrell, Reg. No. 39,223; Kevin Tormey, Reg. No. 41,351; Elizabeth E. Nugent, Reg. No. 43,839; Valarie B. Rosen, Reg. No. 45,698; C. Hunter Baker, Reg. No. 46,533; Monica Gerber, Reg. No. 46,724; Elijah Cocks, Reg. No. 47,499; Nadège M. Lagneau, Reg. No. 51,908; Charles Lyon, Limited Recognition Under 37 C.F.R. § 10.9(b); Stacy Blasberg, Reg. No. 52,625; and Theresa A. Devlin, Reg. No. 45,361 as attorneys and/or agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Address all telephone calls to Anne E. Saturnelli at telephone number (617) 248-4042. Address all correspondence to:

Patent Group  
Choate, Hall & Stewart  
Exchange Place  
53 State Street  
Boston, Massachusetts USA 02109-2804

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's signature

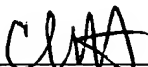
Richard P. Lippmann

Date

1/13/2004Full name of first inventor (given name, family name): Richard LippmannResidence: 23 Pequot Road, Wayland, MA 01778Citizenship: U.S.Post Office Address (include zip code): Same

( X ) Additional inventors are being named on separately numbered sheets attached hereto.


**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION**  
**(continued)**

Inventor's signature  Date 1-21-04

Full name of first inventor (given name, family name): Chris Scott

Residence: 104 Gardner Street, Newton, MA 02458 Citizenship: U.S.

Post Office Address (include zip code): Same

Inventor's signature  Date 1/21/2004

Full name of first inventor (given name, family name): Kendra Kratkiewicz

Residence: 55 Lawton Road, Shirley, MA 01464 Citizenship: U.S.

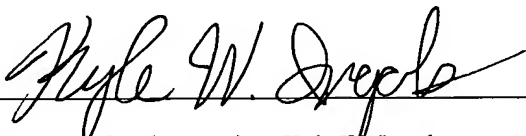
Post Office Address (include zip code): Same

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Full name of first inventor (given name, family name): Michael Artz

Residence: 15 Six Notches Court, Catonsville, MD 21228 Citizenship: U.S.

Post Office Address (include zip code): Same

Inventor's signature  Date 1/21/2004

Full name of first inventor (given name, family name): Kyle W. Ingols

Residence: 113 Washington Street, Arlington, MA 02474 Citizenship: U.S.

Post Office Address (include zip code): Same

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **A NETWORK SECURITY PLANNING ARCHITECTURE**, U.S. Patent Application No. 10/734,083, filed on December 11, 2003.

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Prior Foreign Application(s)

<u>Number</u>	<u>Country</u>	<u>Day/Month/Year Filed</u>	<u>Priority Claimed</u>
_____	_____	_____	( ) Yes ( ) No

I hereby claim the benefit under Title 35, United States Code, § 120/365 of any United States application(s) listed below and PCT International Applications listed above or below, and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

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Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Full name of first inventor (given name, family name): Richard Lippmann

Residence: 23 Pequot Road, Wayland, MA 01778 Citizenship: U.S.

Post Office Address (include zip code): Same

( X ) Additional inventors are being named on separately numbered sheets attached hereto.

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION**  
**(continued)**

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Full name of first inventor (given name, family name): Chris Scott

Residence: 104 Gardner Street, Newton, MA 02458 Citizenship: U.S.

Post Office Address (include zip code): Same

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Full name of first inventor (given name, family name): Kendra Kratkiewicz

Residence: 55 Lawton Road, Shirley, MA 01464 Citizenship: U.S.

Post Office Address (include zip code): Same

Inventor's signature Mike Artz Date 2/2/2004

Full name of first inventor (given name, family name): Michael Artz

Residence: 15 Six Notches Court, Catonsville, MD 21228 Citizenship: U.S.

Post Office Address (include zip code): Same

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Full name of first inventor (given name, family name): Kyle W. Ingols

Residence: 113 Washington Street, Arlington, MA 02474 Citizenship: U.S.

Post Office Address (include zip code): Same